

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

50.US3.PCT

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

09/807506

INTERNATIONAL APPLICATION NO.
PCT/IB99/01730INTERNATIONAL FILING DATE
October 12, 1999PRIORITY DATE CLAIMED
October 13, 1998

TITLE OF INVENTION

GENES, PROTEINS AND BIALLELIC MARKERS RELATED TO CENTRAL NERVOUS SYSTEM DISEASE

APPLICANT(S) FOR DO/EO/US

Marta BLUMENFELD, Lydie BOUGUELERET, Ilya CHUMAKOV, Daniel COHEN, Laurent ESSIQUX

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☒ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. (37 CFR 1.53) 097/807506		INTERNATIONAL APPLICATION NO. PCT/IB99/01730		ATTORNEY'S DOCKET NUMBER	
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21. <input type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; text-align: right;">\$ 860.00</td> <td style="width: 40%;"></td> </tr> <tr> <td style="text-align: right;">\$ 130.00</td> <td></td> </tr> </table>		\$ 860.00		\$ 130.00	
\$ 860.00									
\$ 130.00									
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 130.00					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE						
Total claims	24 - 20 =	4	x \$18.00	\$ 64.00					
Independent claims	8 - 3 =	5	x \$80.00	\$ 400.00					
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				\$ 270.00					
TOTAL OF ABOVE CALCULATIONS =				\$ 1,724.00					
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 0.00					
SUBTOTAL =				\$ 1,724.00					
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ 0.00					
TOTAL NATIONAL FEE =				\$ 1,724.00					
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 0.00					
TOTAL FEES ENCLOSED =				\$ 1,724.00					
				Amount to be refunded:	\$				
				charged:	\$				

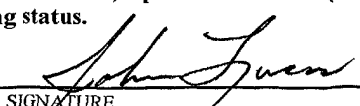
a. ☒ A check in the amount of \$ 1,724.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 50-1181 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 50-1181. A duplicate copy of this sheet is enclosed.

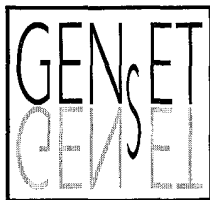
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO: GENSET CORP. 10665 Sorrento Valley Road San Diego, CA 92121-1609 Telephone: 858/597-2600 Facsimile: 858/597-2601	<div style="text-align: center;">  SIGNATURE John Lucas, Ph.D., J.D. NAME 43,373 REGISTRATION NUMBER </div>
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Express Mail Label #EL821903793US

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JCO Rec'd PCT/PTO 13 APR 2001

G E N S E T

Direct Dial: (858) 597-2610
E-Mail: john.lucas@genxy.com

April 13, 2001

Express Mail Label No. EL821903793US

Assistant Commissioner for Patents
Washington, D.C. 20231

RE: United States Designated/Elected Office
U.S. Patent Application For: GENES, PROTEINS AND BIALLELIC MARKERS
RELATED TO CENTRAL NERVOUS SYSTEM DISEASE
Inventors: MARTA BLUMENFELD, LYDIE BOUGUELERET, ILYA CHUMAKOV,
DANIEL COHEN, LAURENT ESSIUX
Our Ref.: 50.US3.PCT

Dear Sir:

Submitted herewith, please find the above-identified application for filing with the United States Patent and Trademark Office. This application claims priority on PCT/IB99/01730, filed October 12, 1999. The following documents are transmitted herewith:

	<u>Quantity</u>
1) Transmittal Letter to the United States Designated/Elected Office (DO/ES/US) Concerning a Filing under 35 U.S.C. 371 (in duplicate)	2 pages
2) Application Data Sheet	4 pages
3) Preliminary Amendment	15 pages
4) Two Copies of the Sequence Listing on CD-ROM	2 CD-ROMs
5) Check in the amount of \$1,724.00	
6) Return Postcard	

The Commissioner is hereby authorized to charge any additional fees, or credit any overpayment in the processing of these documents to our Deposit Account No. 50-1181.

Very truly yours,

GENSET CORPORATION

John Lucas, Ph.D., J.D.
Reg. No. 43,373

JL/cmm
Enclosures
cc: Helene Sarraesca (w/encls.)

Certificate of Mailing under 37 CFR 1.10

Express Mail Label No.: EL821903793US Date of Deposit: April 13, 2001
I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the Date of Deposit shown above, postage prepaid and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Signature
AARON J. SCALIA
Typed or Printed Name of Person Signing Certificate

patent application serial no.

Department of Commerce
Patent and Trademark Office
fee record

Adjustment date: 03/25/2002 MALI11
04/18/2001 NGUYEN 00000070 09807506
03 FC:966 -72.00 DP

03/25/2002 MALI11 00000028 09807506
01 FC:966 36.00 DP

Repln. Ref: 03/25/2002 MALI11 0010355600
DAN:501181 Name/Number:09807506
FC: 704 \$36.00 CR

04/18/2001 NGUYEN 00000070 501181 09807506
01 FC:970 860.00 DP
02 FC:154 130.00 DP
03 FC:966 ~~72.00 DP~~
04 FC:964 400.00 DP
05 FC:968 8.00 CH 262.00 DP